

**SUBJECT: PREPARATION OF
SCIENTIFIC AND
TECHNICAL INFORMATION
FOR PUBLICATION****PRACTICE
INSTRUCTION****Issued** 8-21-96**Effective** 8-21-96**I. POLICY**

It is the policy of the Laboratory that the results of research be published, unless publication is expressly restricted by a written agreement, and that such publication is an essential part of the work of the Laboratory. The preparation of reviews, articles, monographs, etc., requested by sponsoring organizations and related to sponsored work, is considered part of the regular duties of scientific and technical staff members.

The Laboratory places primary responsibility for the timely preparation of correct, complete, and contract-responsive reports, software submissions, and other scientific and technical publications *directly* on the individuals who have the primary responsibility for carrying out the business of the Laboratory (i.e., scientific research): namely, on its scientist-authors and -managers.

Photography and Graphic Arts Services are available in the Information Services Division to assist the author in producing high-quality and uniform publications that are representative of the world-class scientific research conducted at BNL. The Laboratory provides all services connected with the preparation of scientific and technical manuscripts, such as editing, word processing, graphic arts, library research, computing, etc., and pays for page and reprint charges or any other preparation or publication costs associated with sponsored work.

Prior to off-site distribution, the appropriate Department Chairman or Division Manager is required to review and approve scientific and technical papers and reports covering work done at the Laboratory. The review of the publication carried out by the Department Chairman or Division Manager is to certify that the quality of the work and its description meet the highest possible standards. The Laboratory has vested responsibility in the Information Services Division (ISD) for ensuring that scientific and technical information is in compliance with the rules, regulations, and orders of the sponsoring organization.

Patent review of any publication which describes aspects of work performed in whole or in part under the Laboratory's Prime Contract with DOE, or under other contracts and agreements, is carried out by the author (with department or division approval) and by the BNL Patent Office. Patent review policies and procedures are described in SPI 6-04, "Inventions - BNL Patent Responsibility." When required, final patent review of the document is also obtained from the appropriate sponsoring organization.

ISD does not handle classified materials. Security review of work performed in whole or in part under the Laboratory's existing contracts and agreements is carried out by the author, with department or division approval, and by the Laboratory Classification Officer. Policies and procedures regarding the treatment of classified information are addressed in SPI 5-03, "Classified Information and Security Regulations."

ISD is responsible for controlling the paperwork and the internal movement of scientific and technical information through the publication cycle, and for ensuring that such material is properly submitted to the appropriate sponsoring organization(s) or other official distribution centers when approved for release.

Further instructions relevant to scientific and technical information may be found in the following SPI's:

- 6-02 - Transmittal of Technical Information to Foreign Countries
- 6-03 - Research and Development Records
- 6-05 - Safeguarding Third-Party Proprietary Property (Other than Computer Software)
- 6-06 - Safeguarding Licensed Proprietary Computer Software

Detailed instructions for preparing BNL publications are found in the Publications section of *Procedural Guide for Secretaries*, copies of which are available from ISD.

II. SCIENTIFIC AND TECHNICAL PAPERS, REPORTS AND COMPUTER SOFTWARE

A. Scientific and technical papers and reports include the following:

1. **Journal Articles** - Manuscripts intended for publication in journals (i.e., periodicals).
2. **Conference Papers/Abstracts** - Manuscripts (or technical talks) and abstracts thereof to be presented at meetings and/or to be included in published proceedings.
3. **Chapters in Books** - Manuscripts intended for publication in books.
4. **Informal Reports** - Manuscripts containing preliminary information or a report of interim progress on a project. Included in this category are articles submitted for publication in journals by BNL authors which are rejected for reasons not involving technical content: e.g., topic does not match the scope of the editorial policy of the journal, or coverage is too extensive and exceeds length restrictions, or coverage is too narrow and restrictive, etc. Such manuscripts shall be submitted to the Department of Energy's Office of Scientific and Technical Information (DOE/OSTI), as informal topical reports for "Limited Distribution." Authors are encouraged to continue to submit previously rejected materials to journals. However, ISD will not monitor the subsequent publishing of rejected journal articles after they have been submitted to OSTI as informal (topical) reports.
5. **Formal Reports** - Manuscripts extensively covering a research project (e.g., a final report) which are intended for wide distribution, typically in accordance with established subject-oriented distribution lists promulgated by sponsoring organizations, program managers, OSTI, or NRC. Distribution requirements of the DOE are set forth in DOE/OSTI-4500-R75, "Program Distribution for Unclassified Scientific and Technical Reports: Instructions and Category Scope Notes." Similar requirements applicable to NRC documents are covered in "Distribution List Descriptions for NRC Reports and Documents."

6. Computer Software - This category refers to computer software suitable for common use which was developed on behalf of the sponsoring organization(s). The Energy Science and Technology Software Center (ESTSC) is a DOE element designed to facilitate sharing of common-use computer software that is developed by or on behalf of DOE for scientific and technical applications. Operation of the ESTSC helps to avoid needless duplication of software development efforts, and, at the same time, enables DOE to share software within the Federal Government as required by the Federal Software Exchange Program established by the Federal Information Resources Management Regulation, 41 CFR 201-24.201. Specialized information analysis centers, such as the National Nuclear Data Center at BNL, disseminate software directly to their users and advise the ESTSC of their software exchange activities.

The opportunities and obligations connected with using the ESTSC are set forth in DOE Order 1430.1D-1. The BNL ESTSC Coordinator, located in ISD, coordinates the implementation of the policies set forth in that order. The *ESTSC Guide for Submitting and Ordering Software* and related forms are available from the ESTSC Coordinator.

7. Internal Technical Notes - These reports are of limited interest and are to be distributed only within BNL, typically within a Department. They often represent scarcely more than a scientist's working notes. They are sometimes numbered and maintained in a (computerized) departmental tracking system; however, they do not receive any official BNL number or designation. They should not be referred to in the open literature due to their general unavailability and their preliminary and unofficial status.

B. Preparation of Scientific and Technical Papers and Reports

Detailed information concerning the preparation of scientific and technical papers and reports is found in the Publications section of the *Procedural Guide for Secretaries*, which should be consulted. Additional help is available from members of the Publications Section of ISD. All planning, preparation, editing, production, dissemination, and other assistance for any phase of publication may be obtained from ISD.

C. Procedures for Using the BNL Publications System

Procedures for preparation, authorization, and processing of manuscripts and associated forms are shown in the table below.

SUMMARY OF PREPUBLICATION REVIEW PROCEDURES FOR SCIENTIFIC AND TECHNICAL MANUSCRIPTS AND SOFTWARE

FORMS REQUIRED	REASON FOR USE	PREPARATION AND APPROVAL	PROCEDURE AND DISTRIBUTION
"Brookhaven National Laboratory Publication Review Form" BNL F 167E	Initiates publication cycle and gives pertinent information on exact nature of manuscript.	Prepared for <i>all</i> publications by Department. Requires author's signature and valid account number. <i>Must</i> be approved by Department Chairman or designee.	Department retains carbon or photocopy of form and forwards, along with <i>two</i> (2) copies of manuscript, to ISD/Publications section for processing. Of the two (2) copies of the manuscript, one is sent to BNL Office of Technology Transfer for clearing, and one is sent to editing or to ISD/P&GA for production, copying, etc.
"Announcement and Distribution of Department of Energy (DOE) Scientific and Technical Information (STI)" DOE F 1332.15	Notifies DOE about how to handle the publication; tells them of announcement and distribution limitations.	Prepared by Department personnel for all publications <i>except</i> journal articles and abstracts.	
"Release to publish unclassified NRC Contractor, Grant, and International Agreement Reports, and Conference Proceedings" NRC Form 426A	Notifies DOE about how to handle the publication; tells them of announcement and distribution limitations and gives various contract-related data.	Prepared by Department personnel only for publications resulting from NRC-funded work. Includes Conference papers and formal reports <i>only</i> . <i>Must</i> be prepared <i>in addition to</i> DOE F 1332.15. <i>Must</i> be approved by Department Chairman or designee.	
"ISD BNL Publications" BNL Form 2843D	Tells ISD/Publications and ISD/P&GA what is included in manuscript package, and gives information on departmental copy requirements and other special printing instructions for production of document.	Prepared by Department personnel. No approval necessary.	Same as above.
"Bibliographic Data Sheet" NRC Form 335	Used by NRC for inclusion in all formal (i.e., NUREG) reports <i>only</i> . Gives bibliographic information plus abstract, key-words, etc., and additional contract-related data.	Prepared by Department personnel. No approval necessary.	Same as above.
DOE Order 1430.1D-1 Part III, Processing Software for Announcement/Dissemination through the Energy Science and Technology Software Center, Attachments IIIA, IIIB, and IIIC.	Used when unclassified computer software developed by or on behalf of DOE is suitable for common use.	<i>Must</i> be approved by Department Chairman or designee.	Department sends ESTSC forms and software submission to ESTSC. Copies of forms sent to ISD for filing.

D. Distribution

Distribution of most publications is controlled by authors and internal BNL organizations. Distribution of formal reports is partially controlled by sponsoring organizations, usually under standard distribution code assignments discussed in II.A.5, above. ISD will assist authors in determining the total copy requirements for standard distribution in this latter case. Upon completion of the publication cycle, and when all reviews and approvals are complete, ISD will send required copies of the document, and appropriate paperwork, to DOE/OSTI and/or NRC in accordance with the formal distribution requirements. Software submissions are sent to ESTSC by the department/division.

E. Compensation

No compensation should be sought or accepted for the preparation of scientific papers, reports or software applications resulting from Laboratory programs, as such preparation is considered part of the normal duties of a member of the staff.

III. OTHER TECHNICAL WRITING

The general propriety of members of staff accepting outside professional responsibilities is recognized, but in each instance, before any responsibilities of this sort are accepted, several considerations must be weighed. This no less concerns editorships and external writing jobs than it does scientific consultantships. Under appropriate circumstances - depending on the type of outside work being performed, the origin of the request for services, the level of effort required, and any compensation or royalties proposed - the Laboratory may furnish full publications support services to the author. Authors are therefore responsible for ascertaining whether possible conflicts do or will exist before embarking on outside work projects. Detailed information on this and related topics may be found in the Scientific Staff Manual.